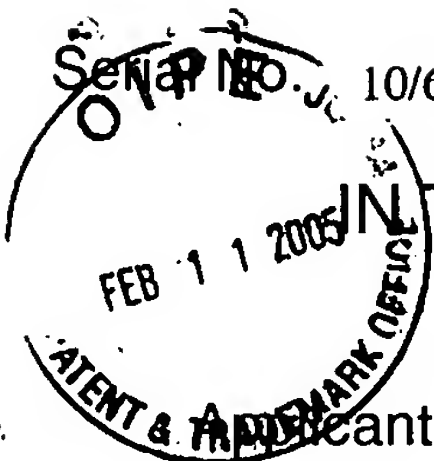


Serial No. 10/628,181

Docket No. 134404-1

EFW



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: MIN-YI SHIH, ET AL

: Group Art Unit: 2874

Serial No.: 10/628,181

: Examiner:

Filed: July 25, 2003

:

For INDEX CONTRAST ENHANCED OPTICAL  
WAVEGUIDES AND FABRICATION METHODS

:

**SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT**

- ☐ 1 **Pursuant to 37 CFR 1.97(b)**  
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☒ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**  
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**  
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**  
[On or before issue fee payment] *\$180.00*

ATTN: MAILSTOP PATENT APPLICATION  
COMMISSIONER FOR PATENTS  
ALEXANDRIA, VA 22313-1450

Sir:

The following are submitted in the above identified application in compliance with 37 CFR 1.97 & 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.	
<u>2-9-05</u>	Date of Deposit
<u>Vivian B. Braden</u>	Type or Print Name
<u>[Signature]</u>	Signature

This paper is submitted in accordance with:

- ☐ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☒ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☒ 8 The required Certification made in item 11 below; or
- ☐ 9 The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR §1.97(d): [On or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☒ 11 Certification
- ☒ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement and any other fees applicable to this application to Deposit Account No. 07-0868. An original and two (2) copies of this document are enclosed.

Respectfully submitted,

9 Feb 05

Date



Attorney - ANN M. AGOSTI

Registration No. 37,372

Phone: (518) 387-7713

or (518) 387-7122

General Electric Company  
GEGR Patent Docket Rm. Bldg. K-1 Rm. 4A59  
One Research Circle  
Niskayuna, New York 12309  
Customer Number: 006147

FORM PTO-1449 (REV. 7-80)		US. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 134404-1	SERIAL NO. 10/628,181
INFORMATION DISCLOSURE STATEMENT BY APPLICANT <u>LIST OF ITEMS</u>				Applicant MIN-YI SHIH, ET AL	
				Filing Date 7/25/03	Group 2874

FEB 11 2005  
 PATENT & TRADEMARK OFFICE

U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	A1	5,113,470	FUKUSHIMA, ET AL				
	A2						
	A3						
	A4						
	A5						
	A6						

FOREIGN PATENT DOCUMENTS							
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO	
	B1	WO 91/01505	2/7/91	PCT			
	B2	JP 08304644	11/22/96	Patent Abstracts of Japan			
	B3	JP 09036337	2/7/97	JAPAN			Yes - Patent Abstract of Japan

OTHER INFORMATION (Including Author, Title, Date, Pertinent Pages, etc.)		
	C1	F. ZHAO, ET AL, "OPTICAL ELEMENTS FOR MIXING COLORED LEDS TO CREATE WHITE LIGHT", SOLID STATE LIGHTING, PROCEEDINGS OF SPIE VOL. 4778, 2002, PP. 206-214.
	C2	COPY OF INTERNATIONAL SEARCH REPORT DATED DECEMBER 16, 2004.
	C3	

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant